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PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 16515 106

First Inventor QI WANG

Title Arcelin-5 Promoter and Uses Thereof

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☐ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 53]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 11]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
5. Oath or Declaration [Total Pages]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☒ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☒ paper
 - c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: ____ / ____

Prior application information: Examiner

Group / Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

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or ☐ Correspondence address below

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State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

David R. Marsh/Andrew S. Breno

Registration No. (Attorney/Agent)

41,408/45,534

Signature

Date

December 17, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

ARNOLD & PORTER

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555 Twelfth Street, NW
Washington, DC 20004-1206

12/17/01
J1131 U.S. PTO

December 17, 2001

Box Patent Application

Commissioner for Patents
Washington, DC 20231

Re: U.S. Patent Application
Appln. No.: To be Assigned
Filed: Herewith
For: ***Arcelin-5 Promoter and Uses Thereof***
Inventors: WANG *et al.*
Atty Docket: 16515.106

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.
Patent and Trademark Office (PTO):

1. Patent Application Transmittal (PTO/SB/05);
2. U.S. Patent Application entitled:
Arcelin-5 Promoter and Uses Thereof
and naming as inventors:
**Qi WANG, Patrice DUBOIS, Jihong LIANG, and Tim
OULMASSOV;**
the application consisting of:
 - a. a specification containing:
 - (i). 48 pages of a description prior to the claims;
 - (ii). 4 pages of claims (24 claims);
 - (iii). 11 pages of drawings (Figures 1, 2, 3, 4a-4e, 5, 6, and 7);
 - (iv). a one (1) page abstract;
 - (v). a paper copy of the sequence listing (10 pages);
3. a sequence listing in Computer Readable Form (CRF), on floppy diskette;
4. a Statement Regarding Sequence Submission;

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Commissioner for Patents

Atty. Dkt.: 16515.106

December 17, 2001

Page 2

5. check No. 200802 in the amount of \$812.00 to cover the filing fee; and
6. two (2) return postcards.

This utility patent application claims priority to United States Provisional Application Serial No. 60/255,879, filed December 18, 2000, and having the title "Arcelin 5 Promoter and Uses Thereof", which is herein incorporated by reference in its entirety.

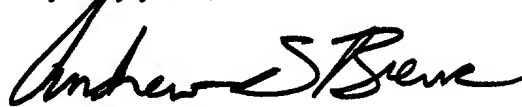
Submitted herewith is a sequence listing in Computer Readable Form (CFR), on floppy diskette.

The sequence listing in Computer Readable Form (CRF) contains one file called "Arc5.ST25.txt" which is 17,069 bytes in size (measured in MS-DOS) and was created on December 13, 2001.

Please stamp one of two attached postcards with the filing date of these documents and return it to our courier, and stamp the other prepaid postcard with the filing date and unofficial application number and return it as soon as possible.

Applicants do not believe that any fees other than the filing fee (\$812) are due in conjunction with this filing. However, should any additional fees be required, the Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 50-1824 referencing docket number 16515.106. A duplicate copy of this letter is enclosed.

Very truly yours,



David R. Marsh (Reg. No. 41,408)

Andrew S. Brenc (Reg. No. 45,534)

Enclosures

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

WANG *et al.*

Appln. No.: To Be Assigned

Filed: Herewith

For: *Arcelin-5 Promoter and Uses Thereof*

Art Unit: To Be Assigned

Examiner: To Be Assigned

Atty. Docket: 16515.106


Statement Regarding Sequence Submission

Commissioner for Patents
Washington, DC 20231

Sir:

The paper copy of the Sequence Listing and the computer-readable form (CRF) of the Sequence Listing submitted herewith in the above-mentioned application are the same.

Respectfully submitted,



David R. Marsh (Reg. No. 41,408)
Andrew S. Brenc (Reg. No. 45,534)

Date: December 17, 2001

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